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8/13/02

By: *Jeanne Connelly*  
Jeanne Connelly

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: EDWARD D.  
FALSO ET AL.  
APPLICATION NO.: 10/032,209  
FILED: DECEMBER 21, 2001  
FOR: METHOD AND SYSTEM FOR  
MANAGING CONTRACTUAL RISK

CONFIRMATION No. 3459  
ART UNIT: 2161



**Information Disclosure Statement Within Three Months of Application Filing or Before First Action – 37 CFR 1.97(b)**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

1. Timing of Submission

This information disclosure is being filed within three months of the filing date of this application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever occurs last [37 CFR 1.97(b)]. The references listed on the enclosed Form PTO-1449 (modified) may be material to the examination of this application; the Examiner is requested to make them of record in the application.

2. Cited Information

☒ Copies of the following references are enclosed:

- ☒ All cited references
- ☐ References marked by asterisks
- ☐ The following:

☐ Copies of the following references can be found in parent application Ser. No.:

- ☐ All cited references
- ☐ References marked by asterisks
- ☐ The following:

☐ The following references are not in English. For each such reference, the undersigned has enclosed (i) a translation of the reference; (ii) a copy of a communication from a foreign patent office or International Searching Authority citing the reference, (iii) a copy of a reference which appears to be

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an English-language counterpart, or (iv) an English-language abstract for the reference prepared by a third party. Applicant has not verified that the translation, English-language counterpart or third-party abstract is an accurate representation of the teachings of the non-English reference, though, and reserves the right to demonstrate otherwise.

- ☐ All cited references
- ☐ References marked by ampersands
- ☐ The following:

3. Effect of Information Disclosure Statement (37 CFR 1.97(h))

This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the cited information is, or is considered to be, material to patentability. In addition, applicant does not admit that any enclosed item of information constitutes prior art to the subject invention and specifically reserves the right to demonstrate that any such reference is not prior art.

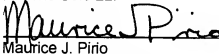
4. Fee Payment

No fees are believed due. However, should the Commissioner determine that fees are due in order for this Information Disclosure Statement to be considered, the Commissioner is hereby authorized to charge such fees to Deposit Account No. 50-0665.

5. Patent Term Adjustment (37 CFR 1.704(d))

- ☐ The undersigned states that each item of information submitted herewith was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this statement. 37 C.F.R. § 1.704(d).

Respectfully submitted,  
Perkins Coie LLP



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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> Form PTO-1449 (Modified) (Use several sheets if necessary)		O I P E AUG 22 2002 TRADEMARK OFFICE		<b>COMPLETE IF KNOWN</b>	
		Application Number	10/032,209	Confirmation Number	3459
Filing Date	December 21, 2001	First Named Inventor	Edward D. Falso	Group Art Unit	2161
Examiner Name		Attorney Docket No.	243768056US (25MB-0068)		
Sheet	1	of	2		

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Column Where Re Figures Appear
		NUMBER	Kind Code (if known)			
	AA	2002/0055900		Kansal	5/9/02	
	AB	6,263,322		Kirkevold et al.	7/17/01	
	AC					
	AD					
	AE					
	AF					
	AG					
	AH					
	AI					
	AJ					

FOREIGN PATENT DOCUMENTS						
Examiner Initial	Cite No.	Foreign Patent or Application		Name of Patentee or Applicant of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Li Where Relevant Figures Appear
		Office e	NUMBER			
	AK					
	AL					
	AM					

OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS		
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume issue number(s), publisher, city and/or country where published.
	AP	Reid, Kate, "Contractual Risk and Internet Commerce," Journal of Law and Information Science, Vol. 11, No. 2, 2001
	AQ	Project Management Institute, "Project Program: Risk Management: A Guide to Managing Project Risks & Opportunities," Chapters I and IX, Edited by R. Max Wideman, Copyright 1992
	AR	Advertisement for "Contractual Risk Management - 3-Hour Risk Management Workshop for Comcover Members," June 2002

EXAMINER	DATE CONSIDERED
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\*EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application(s).